

## Exhibit 300: Capital Asset Plan and Business Case Summary

### Part I: Summary Information And Justification (All Capital Assets)

#### Section A: Overview

1. **Date of Submission:** 2010-09-17

2. **Agency:** 006

3. **Bureau:** 51

4. **Name of this Investment:** USPTO Trademark Next Generation (TM NG)

5. **Unique Project (Investment) Identifier (UPI):** 006-51-01-04-01-8034-00

6. **What kind of investment will this be in FY 2012?:** Planning

- Planning
- Full Acquisition
- Operations and Maintenance
- Mixed Life Cycle
- Multi-Agency Collaboration

7. **What was the first budget year this investment was submitted to OMB?** FY2012

8.

- a. **Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap, specific accomplishments expected by the budget year and the related benefit to the mission, and the primary beneficiary(ies) of the investment.**

Trademark business processes and supporting systems continue to develop improvements to better meet customer and USPTO needs. Processes and systems are more comprehensive and interconnected than ever before, providing the public with data and services that continue to grow increasingly more reliable and efficient. Capable as these systems are the complete vision for the Agency has not yet been fully realized. As our customer and Agency needs for more functional/technical services evolve, our Trademark IT infrastructure must also evolve in order to provide a platform capable of meeting the current and future needs of the Agency and its customers. Trademarks is creating a fully electronic, separate, sustainable, end-to-end system in which technology and user services will be developed, managed, and adapted in an efficient and cost effective manor. The resulting next generation IT systems, platform and functionality will enable optimal use of Trademark data by the public and employees to meet their continually evolving needs. Implementation of Trademark Next Generation (TM NG) architecture, technology platform, systems and functionality will be managed separately from other USPTO business units and take advantage of new technology that will reduce information technology development, enhancement and maintenance costs while providing a more manageable, agile and adaptable technology platform. The TM NG program is based on (1) improvement of Functional/Technical Services to users of the Trademark systems and, (2) standup of a next generation IT Platform. Both the NG systems Functionality and Platform will be managed under one program management structure. The TM NG Platform will separate Trademark systems from other business unit systems, maximize the use of virtualization and making necessary improvements to the Trademark IT Infrastructure using other innovative technologies resulting in, among other benefits, systems capable of operating in a Cloud Computing environment. The first year of the TM NG program will focus on planning and prototyping solutions, architecture, tools, enhancing existing applications with new functionality, designs, products, etc. Execution of the plans and implementation of the TM NG Functional/Technical Services and Platform will be primarily conducted in years two plus of the TM NG program. Agile development methods and System Development Life-Cycle (SDLC) processes will be used under this program.

- b. **Provide any links to relevant websites that would be useful to gain additional information on the**

investment including links to GAO and IG reports.

Title	Link
NONE	

9.

a. Provide the date of the Agency's Executive/Investment Committee approval of this investment.

2011-03-31

b. Provide the date of the most recent or planned approved project charter. 2010-08-31

10. Contact information?

a. Program/Project Manager Name: \*

Phone Number: \*

Email: \*

b. Business Function Owner Name (i.e. Executive Agent or Investment Owner): Gary Cannon

Phone Number: \*

Email: \*

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA): Project manager assigned but qualification status review has not yet started.

- Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/PM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

## Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.B.1: Summary of Funding

(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Planning & Acquisition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition(DME):	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
Operations, Maintenance, Disposition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal O&M and Disposition Costs (SS):	*	*	*	*	*	*	*	*	*
TOTAL FTE Costs	*	*	*	*	*	*	*	*	*
TOTAL (not including FTE costs):	*	*	*	*	*	*	*	*	*
TOTAL (including FTE costs):	*	*	*	*	*	*	*	*	*
Number of FTE represented by	*	*	*	*	*	*	*	*	*

**Table I.B.1: Summary of Funding**  
**(In millions of dollars)**

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Costs:									

2. Insert the number of years covered in the column “PY-1 and earlier”:

3. Insert the number of years covered in the column “BY+4 and beyond”: \*

4. If the summary of funding has changed from the FY 2011 President’s Budget request, briefly explain those changes:

\*

## Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Competed	Short description of acquisition
Awarded	1344	<a href="#">DOC44PAPT1000012</a>	GS06F0651Z		*	*	\$8.9	Labor Hours	N	2010-02-25	2020-02-28	Y	Informational Technology Product Assurance (ITPA) Services Functional Area: Enterprise Configuration Management (ECM)
Awarded	1344	<a href="#">DOC56PAPT1103008</a>	DOC50PAPT0801027		*	*	\$0.5	Labor Hours	Y	2010-12-28	2011-08-31	Y	Funding for New Task Order Chief Architect Trademarks Next Generation (TM NG) Support Funding Period of Performance: From Date of Award to 8/31/2011 Period of Performance: From Date of

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
													Award to 8/31/2011

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

\*

3.

- a. Has an Acquisition Plan been developed? If yes, please answer the questions that follow \*
- b. Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 \*
- c. Was the Acquisition Plan approved in accordance with agency requirements \*
- d. If "yes," enter the date of approval? \*
- e. Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? \*
- f. Does the acquisition plan meet the requirements of EOs 13423 and 13514? \*
- g. If an Acquisition Plan has not been developed, provide a brief explanation.

\*

## Part II: IT Capital Investments

### Section A: General

1.
  - a. Confirm that the IT Program/Project manager has the following competencies: configuration management, data management, information management, information resources strategy and planning, information systems/network security, IT architecture, IT performance assessment, infrastructure design, systems integration, systems life cycle, technology awareness, and capital planning and investment control. yes
  - b. If not, confirm that the PM has a development plan to achieve competencies either by direct experience or education.
2. Describe the progress of evaluating cloud computing alternatives for service delivery to support this investment. USPTO is committed to implementing a virtual cloud environment. An evaluation planned for FY11 will analyze current & emerging cloud computing offerings, identify procurement options, and analyze cloud migration risks, issues, and concerns.
3. Provide the date of the most recent or planned Quality Assurance Plan 2011-08-15
4.
  - a. Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment. 006-51-02-00-01-8011-00,006-51-01-03-01-8011-00
  - b. If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s).
5. An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. 2010-03-12
6. Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated. 2011-04-04

## Section B: Cost and Schedule Performance

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Conduct TM Next Generation - Short Term Analysis Study	DME	*	\$0.3	\$0.3	2010-01-01	2010-01-01	2010-03-12	2010-03-12	0.00%	100.00%
Conduct TM Next Generation - Short Term Analysis Study	DME	*	\$0.3	\$0.3	2010-01-01	2010-01-01	2010-03-12	2010-03-12	100.00%	100.00%
Plan and Manage Portfolio FY 11	DME	*	\$2.5	\$0.3	2010-10-01	2010-10-01	2011-12-31		67.00%	67.00%
Pilot Options and Develop TM NG Cloud Computing Roadmap FY11	DME	*	\$0.9	\$0.0	2011-06-30		2011-09-30		0.00%	0.00%
Prototype and Deliver Infrastructure/Bus iness Tools FY 11	DME	*	\$0.8	\$0.0	2011-06-30		2011-09-30		0.00%	0.00%
Separate and Virtualize Trademark Systems FY 11	DME	*	\$1.0	\$0.0	2011-06-30		2011-09-30		0.00%	0.00%
Pilot Options and Develop TM NG Cloud Computing Roadmap FY 12	DME	*	\$0.4	\$0.0	2011-10-01		2012-09-30		0.00%	0.00%
Plan and Manage Portfolio FY12	DME	*	\$0.7	\$0.0	2011-10-01		2012-09-30		0.00%	0.00%
Separate and Virtualize Trademark Systems FY 12	DME	*	\$2.0	\$0.0	2011-10-01		2012-09-30		0.00%	0.00%
Use Agile to	DME	*	\$4.4	\$0.0	2011-10-01		2012-09-30		0.00%	0.00%



Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Develop TM NG Systems/Apps FY12										
Prototype and Deliver Infrastructure/Bus iness Tools FY 12	DME	*	*	*	2012-06-30	*	2012-06-30	*	*	*
Plan and Manage Portfolio FY 13	DME	*	*	*	2012-10-01	*	2013-09-30	*	*	*
Separate and Virtualize Trademark Systems FY 13	DME	*	*	*	2012-10-01	*	2013-02-25	*	*	*
Use Agile to Develop TM NG Systems/Apps FY13	DME	*	*	*	2012-10-01	*	2013-09-30	*	*	*
Use Agile to Develop TM NG Systems/Apps FY14	DME	*	*	*	2013-10-01	*	2014-09-30	*	*	*
Use Agile to Develop TM NG Systems/Apps FY 11	DME	*	\$0.7	\$0.0	2011-06-30		2011-09-30		0.00%	0.00%

2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion.

3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements. The details of the analysis must be available to OMB upon request. Insert the date of the most recent or planned operational analysis.

4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation?

Section C: Financial Management Systems

Table II.C.1: Financial Management Systems			
System(s) Name	System acronym	Type of Financial System	BY Funding
*	*	*	*

Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Table II.D.1. Customer Table:	
Customer Agency	Joint exhibit approval date
NONE	

Table II.D.2. Shared Service Providers		
Shared Service Provider (Agency)	Shared Service Asset Title	Shared Service Provider Exhibit 53 UPI (BY 2011)
*	*	*

Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions):							
Partner Agency	Partner exhibit 53 UPI (BY 2012)	CY Monetary Contribution	CY “In-Kind” Contribution	CY Fee-for-Service	BY Monetary Contribution	BY “In-Kind” Contribution	BY Fee-for-Service
NONE							

Table II.D.4. Legacy Systems Being Replaced		
Name of the Legacy Investment of Systems	Current UPI	Date of the System Retirement
*	*	*

## Section E: Performance Information

Table I.E.1a. Performance Metric Attributes

Measurement Area (For IT Assets)	Measurement Grouping (For IT Assets)	Measurement Indicator	Reporting Frequency	Unit of Measure	Performance Measure Direction	Baseline	Year Baseline Established for this measure (Origination Date)
Customer Results	Customer Satisfaction	# of stakeholders engaged	quarterly	number	increase	3	2010-09-09
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	5		Not Due	2010-09-21
Customer Results	Customer Satisfaction	# of stakeholders engaged	quarterly	number	increase	5	2010-09-09
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2012	6		Not Due	2010-09-21
Customer Results	Customer Satisfaction	# of stakeholders engaged	quarterly	number	increase	6	2010-09-09
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2013	8		Not Due	2010-09-21
Customer Results	Customer Satisfaction	# of stakeholders engaged	quarterly	number	increase	8	2010-09-09
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2014	9		Not Due	2010-09-21
Customer Results	Customer Satisfaction	# of stakeholders	quarterly	number	increase	9	2010-09-09

engaged			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2015	9		Not Due	2010-09-21
Mission and Business Results	Strategic Planning	% of currently identified services analyzed and prioritized for cloud deployment	quarterly	% complete	increase	0	2010-09-09
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	0.5		Not Due	2010-09-21
Mission and Business Results	Strategic Planning	% of currently identified services analyzed and prioritized for cloud deployment	quarterly	% complete	increase	0.5	2010-09-09
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2012	0.85		Not Due	2010-09-21
Mission and Business Results	Strategic Planning	% of currently identified services analyzed and prioritized for cloud deployment	quarterly	% complete	increase	0.85	2010-09-09
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2013	1		Not Due	2010-09-21
Mission and Business Results	Intellectual Property Protection	% of selected services deployed using cloud computing	quarterly	% complete	increase	0	2010-09-09
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated

			2012	0.2		Not Due	2010-09-21
Mission and Business Results	Intellectual Property Protection	% of selected services deployed using cloud computing	quarterly	% complete	increase	0.2	2010-09-09
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2013	0.35		Not Due	2010-09-21
Mission and Business Results	Intellectual Property Protection	% of selected services deployed using cloud computing	quarterly	% complete	increase	0.35	2010-09-09
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2014	0.6		Not Due	2010-09-21
Mission and Business Results	Intellectual Property Protection	% of selected services deployed using cloud computing	quarterly	% complete	increase	0.6	2010-09-09
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2015	1		Not Due	2010-09-21
Technology	Support Costs	Average annual cost per FTE	quarterly	Number (\$1000)	decrease	80	2010-09-09
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	77		Not Due	2010-09-21
Technology	Support Costs	Average annual cost per	quarterly	Number	decrease	77	2010-09-09

		FTE					
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2012	75		Not Due	2010-09-21
Technology	Support Costs	Average annual cost per FTE	quarterly	Number	decrease	75	2010-09-09
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2013	73		Not Due	2010-09-21
Technology	Support Costs	Average annual cost per FTE	quarterly	Number	decrease	73	2010-09-09
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2014	65		Not Due	2010-09-21
Technology	Support Costs	Average annual cost per FTE	quarterly	Number	decrease	65	2010-09-09
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2015	59		Not Due	2010-09-21
Technology	Operations and Maintenance Costs	Average annual Operations cost variation (%)	annual	% complete	decrease	0	2010-09-09
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	0		Not Due	2010-09-21
Technology	Operations and	Average annual	annual	% complete	decrease	0.02	2010-09-09



Maintenance Costs		Operations cost variation (%)					
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2012	0.02		Not Due	2010-09-21
			2013	0.05		Not Due	2010-09-21
Technology	Operations and Maintenance Costs	Average annual Operations cost variation (%)	annual	% complete	decrease	0.05	2010-09-09
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2014	0.1		Not Due	2010-09-21
Technology	Operations and Maintenance Costs	Average annual Operations cost variation (%)	annual	% complete	decrease	0.1	2010-09-09
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2015	0.15		Not Due	2010-09-21
Processes and Activities	Risk	Data Migration Plan created. Reassess Risk and update Risk Registry accordingly.	annual	% Complete	Reduction	0	2010-08-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2012	1		Not Due	2010-09-21
Processes and Activities	Risk	Reassessing Risk and update Risk Registry accordingly. Complete other identified Risk	annual	% Complete	Reduction	TBD	2010-08-30

reduction components  
as identified during agile  
process.

Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
2013	TBD		Not Due	2010-09-21
2014	TBD		Not Due	2010-09-21
2015	TBD		Not Due	2010-09-21

Processes and Activities	Risk	Risk Management Plan and Registry created and updated monthly	annual	% Complete	Reduction	0	2010-08-30
			Fiscal Year	Target	Actual Results	Target “Met” or “Not Met”	Last Updated
			2011	1		Not Due	2010-09-21

\* - Indicates data is redacted.